

10/30/01 1130 U.S. PTO

12/19/01

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Please type a plus sign (+) inside this box ☐ + Approved for use through 10/31/2002. OMB 0651-0032 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. SYM 117  
First Inventor Maria-Luisa Maccacchini  
Title METHODS FOR MODULATION, STIMULATION, AND INHIBITION OF GLUTAMATE REUPTAKE  
Express Mail Label No. EL 876 198 035 US

(Only for new nonprovisional applications under 37 CFR 1.53(b))

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 37]  
(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table, or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 13]
5. ☒ Oath or Declaration [Total Pages 2]  
a. ☒ Unexecuted declaration (original or copy)  
b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 17 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Other: .....

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

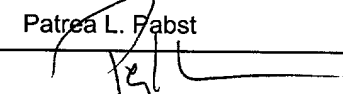
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_  
Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label  or ☒ Correspondence address below

Name Patrea L. Pabst  
Holland & Knight LLP  
Address 2000 One Atlantic Center  
1201 West Peachtree Street  
City Atlanta State GA Zip Code 30309-3400  
Country USA Telephone 404-817-8473 Fax 404-817-8588

Name (Print/Type) Patrea L. Pabst Registration No. (Attorney/Agent) 31,284  
Signature  Date October 30, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231. 077588/00004

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$370.00)

## Complete if Known

|                      |                          |
|----------------------|--------------------------|
| Application Number   | Not yet assigned         |
| Filing Date          | October 30, 2001         |
| First Named Inventor | Maria-Luisa Macccecchini |
| Examiner Name        | Not yet assigned         |
| Group Art Unit       | Not yet assigned         |
| Attorney Docket No.  | SYM 117                  |

## METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

50-1868

Deposit  
Account  
Name

Holland &amp; Knight LLP

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

- ☒ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

| Fee Code (\$) | Fee Code (\$) | Fee Description        | Fee Paid |
|---------------|---------------|------------------------|----------|
| 101 710       | 201 370       | Utility filing fee     | 370.00   |
| 106 320       | 206 160       | Design filing fee      |          |
| 107 490       | 207 245       | Plant filing fee       |          |
| 108 710       | 208 355       | Reissue filing fee     |          |
| 114 150       | 214 75        | Provisional filing fee |          |

SUBTOTAL (1) (\$370.00)

## 2. EXTRA CLAIM FEES

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 9 -20              | = 0          | X              |          |
| 1 -3               | = 0          | X              |          |
| Multiple Dependent |              |                |          |

Large Entity Small Entity

| Fee Code (\$) | Fee Code (\$) | Fee Description  | Fee Paid |
|---------------|---------------|--|----------|
| 103 18        | 203 9         | Claims in excess of 20                                     |          |
| 102 80        | 202 40        | Independent claims in excess of 3                          |          |
| 104 270       | 204 135       | Multiple dependent claim, if not paid                      |          |
| 109 80        | 209 40        | ** Reissue independent claims over original patent         |          |
| 110 18        | 210 9         | ** Reissue claims in excess of 20 and over original patent |          |

SUBTOTAL (2) (\$)-0-

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Small Entity  
Fee Fee Fee Fee  
Code (\$ Code (\$)

## Fee Description

## Fee Paid

|            |            |  |  |
|------------|------------|--|--|
| 105 130    | 205 65     | Surcharge - late filing fee or oath  |  |
| 127 50     | 227 25     | Surcharge - late provisional filing fee or cover sheet                     |  |
| 139 130    | 139 130    | Non-English specification  |  |
| 147 2,520  | 147 2,520  | For filing a request for <i>ex parte</i> reexamination                     |  |
| 112 920*   | 112 920*   | Requesting publication of SIR prior to Examiner action                     |  |
| 113 1,840* | 113 1,840* | Requesting publication of SIR after Examiner action                        |  |
| 115 110    | 215 55     | Extension for reply within first month                                     |  |
| 116 390    | 216 195    | Extension for reply within second month                                    |  |
| 117 890    | 217 445    | Extension for reply within third month                                     |  |
| 118 1,390  | 218 695    | Extension for reply within fourth month                                    |  |
| 128 1,890  | 228 945    | Extension for reply within fifth month                                     |  |
| 119 310    | 219 155    | Notice of Appeal   |  |
| 120 310    | 220 155    | Filing a brief in support of an appeal                                     |  |
| 121 270    | 221 135    | Request for oral hearing   |  |
| 138 1,510  | 138 1,510  | Petition to institute a public use proceeding                              |  |
| 140 110    | 240 55     | Petition to revive - unavoidable   |  |
| 141 1,240  | 241 620    | Petition to revive - unintentional   |  |
| 142 1,240  | 242 620    | Utility issue fee (or reissue)   |  |
| 143 440    | 243 220    | Design issue fee   |  |
| 144 600    | 244 300    | Plant issue fee  |  |
| 122 130    | 122 130    | Petitions to the Commissioner  |  |
| 123 50     | 123 50     | Petitions related to provisional applications                              |  |
| 126 240    | 126 240    | Submission of Information Disclosure Stmt                                  |  |
| 581 40     | 581 40     | Recording each patent assignment per property (times number of properties) |  |
| 146 710    | 246 355    | Filing a submission after final rejection (37 CFR § 1.129(a))              |  |
| 149 710    | 249 355    | For each additional invention to be examined (37 CFR § 1.129(b))           |  |
| 179        | 279 355    | Request for Continued Examination (RCE)                                    |  |
| 169 900    | 169 900    | Request for expedited examination of a design application                  |  |

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)-0-

## SUBMITTED BY

Name (Print/Type)

Patrea L. Pabst

Registration No.  
(Attorney/Agent)

31,284

Complete (if applicable)

Telephone

404 817-8473

Signature

Date

October 30, 2001

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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077588/00004

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Maria-Luisa Maccecchini and Xue-Feng Pei

Serial No.: Not yet assigned                      Express Mail Label No.: EL 876 198 035 US

Filed: October 30, 2001                      Date of Deposit                      October 30, 2001

For: *METHODS FOR MODULATION, STIMULATION, AND INHIBITION OF  
GLUTAMATE REUPTAKE*

Commissioner for Patents  
Washington, D.C. 20231

**EXPRESS MAIL TRANSMITTAL LETTER  
FOR PATENT APPLICATION AND CERTIFICATE OF MAILING**

Sir:

Pursuant to 35 U.S.C. § 21(a) as amended by Public Law 97-247 and 37 C.F.R. § 1.10, applicants enclose for filing the attached patent application entitled "Method for Modulation, Stimulation, and Inhibition of Glutamate Reuptake", which claims priority to U.S.S.N. 60/244,252 filed October 30, 2000. The application includes 1 page of Abstract, 31 pages of specification, 5 pages of claims, 13 sheets of formal drawings, and an unexecuted Declaration. An executed Declaration and Assignment to Annovis, Inc. will be submitted shortly. A check in the amount of \$370.00 to cover one half of the filing fee is enclosed.

This application is entitled to small entity status under 37 C.F.R. § 1.27.

This application is being filed on October 30, 2001 by mailing the application to the Assistant Commissioner for Patents, Washington, D.C. 20231 via the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10. The Express

"Method for Modulation, Stimulation, and Inhibition of  
Glutamate Reuptake"  
Filed: October 30, 2001  
Express Mail Transmittal Letter for  
Patent Application and Certificate of Mailing  
Express Mail Label No. EL 876 198 035 US

Mail label number appears in the heading of this paper which is attached to the application  
papers pursuant to 37 C.F.R. § 1.10(b).

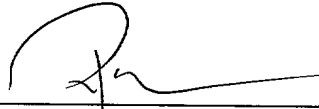
The Commissioner is hereby authorized to charge any fees that may be required, or credit  
any overpayment to Deposit Order Account No. 50-1886. To facilitate this process, applicants  
have enclosed a duplicate of this letter.

All correspondence concerning this application should be mailed to:

**Patrea L. Pabst, Esq.**  
**HOLLAND & KNIGHT LLP**  
**Suite 2000, One Atlantic Center**  
**1201 West Peachtree Street, N.E.**  
**Atlanta, Georgia 30309-3400**

**(404) 817-8473 (Telephone)**  
**(404) 817-8588 (Fax)**

Respectfully submitted,



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Patrea L. Pabst  
Reg. No. 31,284

Date: October 30, 2001  
**HOLLAND & KNIGHT LLP**  
**Suite 2000, One Atlantic Center**  
**1201 West Peachtree Street, N.E.**  
**Atlanta, Georgia 30309-3400**  
**(404) 817-8473 (Telephone)**  
**(404) 817-8588 (Fax)**

"Method for Modulation, Stimulation, and Inhibition of  
Glutamate Reuptake"

Filed: October 30, 2001

Express Mail Transmittal Letter for

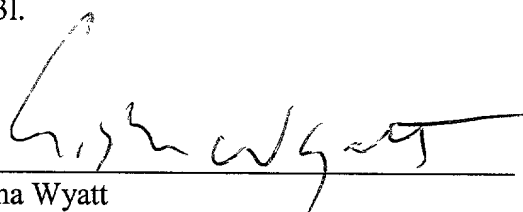
Patent Application and Certificate of Mailing

Express Mail Label No. EL 876 198 035 US

### **CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.10**

I hereby certify that this Express Mail Transmittal Letter for Patent Application and any documents referred to as attached therein are being deposited with the United States Postal Service on this date, October 30, 2001, in an envelope as "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10, mailing label number EL 876 198 035 US, addressed to the Commissioner for Patents, Washington, D.C. 20231.

Date: October 30, 2001

  
\_\_\_\_\_  
Aisha Wyatt

ATL1 #491085 v1